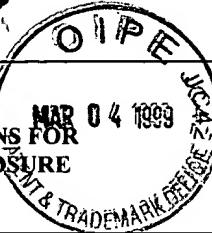


In Place of FORM PTO-1449 (Modified)

Serial No.: 09/067,640
Applicants: Jan Stallaert et al.
Filing Date: April 27, 1998
Group:
Atty. Docket No.: 18608-P001C1

**LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANTS' INFORMATION DISCLOSURE
STATEMENT**



RECEIVED

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Reference Designation

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date	Group
CA	4,412,287	10/25/83	Walter D. Braddock III	364	408		
CA	4,674,044	06/16/87	Kalmus et al.	364	408		
CA	5,077,665	12/31/91	Silverman et al.	364	408		
CA	5,101,353	03/31/92	Lupien et al.	364	408		
CA	5,136,501	08/04/92	Silverman et al.	364	408		

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner

Initial

- CA AFA Adams et al., "Commodity Bundling and the Burden of Monopoly," *The Quarterly Journal of Economics* Vol. XC, 475-498 (1976).
- CA AGA Brewer et al., "A Binary Conflict Ascending Price (BICAP) Mechanism for the Decentralized Allocation of the Right to Use Railroad Tracks," Social Science Working Paper 887, California Institute of Technology, Division of the Humanities and Social Sciences, Pasadena, California (February 1995).
- CA AHA Goodwin, Richard M., "Iteration, Automatic Computers, and Economic Dynamics," *Metroeconomica* Vol. III, pp. 1-7, (April 1951).
- CA AIA Levin, Jonathan, "An Optimal Auction for Complements," *Games and Economic Behavior* Vol. 18, 176-192 (1997).
- CA AJA McAfee et al., "Multiproduct Monopoly, Commodity Bundling, and Correlation of Values," *The Quarterly Journal of Economics* 371-383 (May 1989).
- CA AKA Gjerstad et al., "Price Formation in Double Auctions," pp. 1-32 (April 7, 1997)
- CA ALA McAfee et al., "Analyzing the Airwaves Auction," *Journal of Economic Perspectives* Vol. 10, No. 1, 159-175 (Winter 1996).
- CA AMA Weber, Bruce W., "Transparency and Bypass in Electronic Financial Markets," Proceedings of the Twenty-Seventh Annual Hawaii International Conference on System Sciences, pp. 865-874 (1994).
- CA ANA Domowitz et al., "Auctions as algorithms," *Journal of Economic Dynamics and Control* Vol. 18, pp. 29-60 (1994).
- CA AOA Radosevich, Lynda, "Wired," *Webmaster*, pp. 26-31 (February 1997).
- CA APA Branco, Fernando, "Designing Markets: on the Use of Combinational Bids in Multi-object Auctions," pp. 1-25 (May 1997).
- CA AQA McAfee et al., "Electronic Markets" in *Readings in Electronic Commerce*, pp. 293-309 (Addison Wesley Longman, Inc. 1997).
- CA ARA Hill et al., "Equity Trading, Program Trading, Portfolio Insurance, Computer Trading and All That," *Financial Analysts Journal*, pp. 29-35 (July-August 1988).
- CA ASA Rubinstein, Mark, "Market Basket Alternatives," *Financial Analysts Journal*, pp. 20-29 (September-October 1989).

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CK ATA

McCabe et al., "Designing 'Smart' Computer-Assisted Markets: An Experimental Auction for Gas Networks," *Journal of Political Economy* Vol. 5, pp. 259-283 (1989).

CK AUA

Rassenti et al., "A combinatorial auction mechanism for airport time slot allocation," *The Bell Journal of Economics*, Vol. 13, pp. 402-417 (1982).

CK AVA

Domowitz, Ian, "The Mechanics of Automated Trade Execution Systems," *Journal of Financial Intermediation* Vol. 1, pp. 167-194 (1990).

CK AWA

Rothkopf et al., "Computationally Manageable Combinatorial Auctions," pp. 1-26, Rutgers University (December 1995).

CK AXA

Bikhchandani et al., "Competitive Equilibrium in an Exchange Economy with Indivisibilities," *Journal of Economic Theory* Vol. 74, pp. 385-413 (1997).

SLR
Examiner:

2/7/01
Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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368:18608-P001C1

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PTO/SB/08B (10-96)

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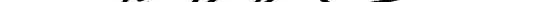
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449B/PTO		<i>Complete if Known</i>	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		Application Number	09/067,640
		Filing Date	April 27, 1998
		First Named Inventor	Jan Stallaert
		Group Art Unit	2761
		Examiner Name	Not yet assigned
Sheet	2	of	2
		Attorney Docket Number	18608-P001C1

NON PATENT LITERATURE DOCUMENTS

NON-PATENT LITERATURE DOCUMENTS		
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
S	FAN, ET AL., Creating Electronic Markets; Dr. Dobb's Journal; November 1998; 5 pages	T ²
GJ	KALAKOTA, ET AL.; Worldwide Real-Time Decision Support Systems for Electronic Commerce Applications; Journal of Organizational Computing and Electronic Commerce 6(1), 11-32 (1996); 22 pages; University of Texas; Austin, Texas	
CH	R.M. MILLER; On Distributing the Intelligence of Economic Process; IFAC Economics and Artificial Intelligence; 1986; 2 pages; Aix-en-Provence, France	
		RECEIVED JUL 14 1999 Group 2700
	 JUL 06 1999	

Examiner Signature		Date Considered	7/2/01
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1 Unique citation designation number. 2 Applicant is to place a check mark here if English language Translation is attached.

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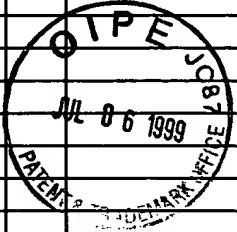
PTO/SB/08A (10-96)

Approved to use through 3/03/1999, OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

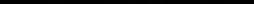
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<p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> <p>(use as many sheets as necessary)</p>		Complete if Known	
		Application Number	09/067,640
		Filing Date	April 27, 1998
		First Named Inventor	Jan Stallaert
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Sheet	1	of	2
		Attorney Docket Number	
		18608-P001C1	

U.S. PATENT DOCUMENTS



FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	2/2/01
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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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In Place of FORM PTO-1449 (Modified)

Serial No.: 09/067,640

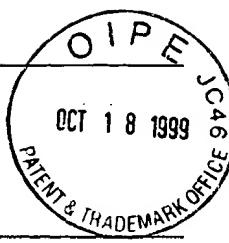
Applicants: Jan Stallaert et al.

Filing Date: April 27, 1998

Group: Not assigned

Atty. Docket No.: 18608-P001C1

**LIST OF PATENTS AND PUBLICATIONS FOR
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STATEMENT**



Reference Designation

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
G AAA	5,689,652	11/18/97	Lupien et al.	395	237	1
G ABC	5,873,071	02/16/99	Ferstenberg et al.	705	37	1
ACA						2700 MAIL ROOM
ADA						19
AEA						1999
AFA						
AGA						
AHA						
AIA						

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
ANA						
AOA						
APA						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner Initial

- G AQA Ming Fan et al., *Creating Electronic Markets*, Dr. Dobb's Journal, November 1998, pp. 52, 54-56.
G ARA Ming Fan et al., *A Web-Based Financial Trading System*, Computer, Vol. 32, No. 4, April 1999, pp. 64-70.
G ASA R. M. Miller, *On Distributing the Intelligence of Economic Processes*, Economics and Artificial Intelligence Proceedings of the IFAC/IFORS/IFIP/IASC/AFCET Conference, AIX-En-Provence, France, 2-4 Sept., 1986, p. 161, XP002102608.

Examiner:

Date Considered:

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